

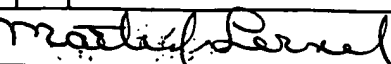


Form PTO-1449 (REV. 7-92)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket Number: PHO 99-003		Serial No.: 09/439,174																																																																																																																						
<b>INFORMATION DISCLOSURE STATEMENT</b> <b>BY APPLICANT</b> (Use several sheets if necessary)																																																																																																																												
				Applicant(s): Bennett																																																																																																																								
				Filing Date: 11/12/99		Group Art Unit :2744  RECEIVED																																																																																																																						
<b>U.S. PATENT DOCUMENTS</b>																																																																																																																												
FEB 22 2000																																																																																																																												
*EXAMINER INITIAL	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="8">DOCUMENT NUMBER</th> <th>DATE</th> <th>NAME</th> <th>CLASS</th> <th>SUBCLASS</th> <th>FILING DATE IF APPROPRIATE</th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;">ME</td> <td>5</td><td>9</td><td>6</td><td>0</td><td>3</td><td>9</td><td>9</td> <td>9/28/99</td> <td>Barclay et al.</td> <td>704</td> <td>270</td> <td>12/24/97</td> </tr> <tr> <td style="vertical-align: top;">↑</td> <td>5</td><td>9</td><td>6</td><td>0</td><td>3</td><td>9</td><td>4</td> <td>9/28/99</td> <td>Gould et al.</td> <td>704</td> <td>240</td> <td>10/22/97</td> </tr> <tr> <td></td> <td>5</td><td>9</td><td>5</td><td>6</td><td>6</td><td>8</td><td>3</td> <td>9/21/99</td> <td>Jacobs et al.</td> <td>704</td> <td>275</td> <td>4/4/96</td> </tr> <tr> <td></td> <td>5</td><td>9</td><td>1</td><td>5</td><td>2</td><td>3</td><td>6</td> <td>6/22/99</td> <td>Gould et al.</td> <td>704</td> <td>251</td> <td>6/26/97</td> </tr> <tr> <td></td> <td>5</td><td>8</td><td>6</td><td>7</td><td>8</td><td>1</td><td>7</td> <td>2/2/99</td> <td>Catallo et al.</td> <td>704</td> <td>255</td> <td>8/19/96</td> </tr> <tr> <td></td> <td>5</td><td>8</td><td>1</td><td>9</td><td>2</td><td>2</td><td>0</td> <td>10/6/98</td> <td>Sarukkai et al.</td> <td>704</td> <td>243</td> <td>9/30/96</td> </tr> <tr> <td style="vertical-align: top;">↓</td> <td>5</td><td>8</td><td>0</td><td>2</td><td>2</td><td>5</td><td>6</td> <td>9/1/98</td> <td>Fawcett et al.</td> <td><del>704</del></td> <td><del>275</del></td> <td>4/18/96</td> </tr> <tr> <td style="vertical-align: top;">ME</td> <td>5</td><td>7</td><td>5</td><td>8</td><td>3</td><td>2</td><td>2</td> <td>5/26/98</td> <td>Rongley</td> <td>704</td> <td>275</td> <td>12/9/94</td> </tr> </tbody> </table>							DOCUMENT NUMBER								DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	ME	5	9	6	0	3	9	9	9/28/99	Barclay et al.	704	270	12/24/97	↑	5	9	6	0	3	9	4	9/28/99	Gould et al.	704	240	10/22/97		5	9	5	6	6	8	3	9/21/99	Jacobs et al.	704	275	4/4/96		5	9	1	5	2	3	6	6/22/99	Gould et al.	704	251	6/26/97		5	8	6	7	8	1	7	2/2/99	Catallo et al.	704	255	8/19/96		5	8	1	9	2	2	0	10/6/98	Sarukkai et al.	704	243	9/30/96	↓	5	8	0	2	2	5	6	9/1/98	Fawcett et al.	<del>704</del>	<del>275</del>	4/18/96	ME	5	7	5	8	3	2	2	5/26/98	Rongley	704	275	12/9/94
DOCUMENT NUMBER								DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE																																																																																																																
ME	5	9	6	0	3	9	9	9/28/99	Barclay et al.	704	270	12/24/97																																																																																																																
↑	5	9	6	0	3	9	4	9/28/99	Gould et al.	704	240	10/22/97																																																																																																																
	5	9	5	6	6	8	3	9/21/99	Jacobs et al.	704	275	4/4/96																																																																																																																
	5	9	1	5	2	3	6	6/22/99	Gould et al.	704	251	6/26/97																																																																																																																
	5	8	6	7	8	1	7	2/2/99	Catallo et al.	704	255	8/19/96																																																																																																																
	5	8	1	9	2	2	0	10/6/98	Sarukkai et al.	704	243	9/30/96																																																																																																																
↓	5	8	0	2	2	5	6	9/1/98	Fawcett et al.	<del>704</del>	<del>275</del>	4/18/96																																																																																																																
ME	5	7	5	8	3	2	2	5/26/98	Rongley	704	275	12/9/94																																																																																																																
<b>FOREIGN PATENT DOCUMENTS</b>																																																																																																																												
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="8">DOCUMENT NUMBER</th> <th>DATE</th> <th>COUNTRY</th> <th>CLASS</th> <th>SUBCLASS</th> <th>TRANSLATION</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>								DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION																																																																																																								
DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION																																																																																																																
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)																																																																																																																												
<table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 10%; vertical-align: top;">ME</td> <td>L. Travis, "Handbook of Speech Pathology", Appleton-Century-Crofts, Inc., 1957, pp. 91-124.</td> </tr> <tr> <td style="vertical-align: top;">ME</td> <td>L.E. Baum, T. Petrie, "Statistical inference for probabilistic functions for finite state Markov chains", Ann. Math. Stat., 37: 1554-1563, 1966</td> </tr> <tr> <td style="vertical-align: top;">ME</td> <td>J.L. Flanagan, "Speech Analysis Synthesis and Perception", 2<sup>nd</sup> edition, Springer-Verlag Berlin, 1972, pp. 1-53.</td> </tr> <tr> <td style="vertical-align: top;">ME</td> <td>L.E. Baum, "An inequality and associated maximization technique in statistical estimation for probabilistic functions of Markov processes", Inequalities 3: 1-8, 1972</td> </tr> </tbody> </table>								ME	L. Travis, "Handbook of Speech Pathology", Appleton-Century-Crofts, Inc., 1957, pp. 91-124.	ME	L.E. Baum, T. Petrie, "Statistical inference for probabilistic functions for finite state Markov chains", Ann. Math. Stat., 37: 1554-1563, 1966	ME	J.L. Flanagan, "Speech Analysis Synthesis and Perception", 2 <sup>nd</sup> edition, Springer-Verlag Berlin, 1972, pp. 1-53.	ME	L.E. Baum, "An inequality and associated maximization technique in statistical estimation for probabilistic functions of Markov processes", Inequalities 3: 1-8, 1972																																																																																																													
ME	L. Travis, "Handbook of Speech Pathology", Appleton-Century-Crofts, Inc., 1957, pp. 91-124.																																																																																																																											
ME	L.E. Baum, T. Petrie, "Statistical inference for probabilistic functions for finite state Markov chains", Ann. Math. Stat., 37: 1554-1563, 1966																																																																																																																											
ME	J.L. Flanagan, "Speech Analysis Synthesis and Perception", 2 <sup>nd</sup> edition, Springer-Verlag Berlin, 1972, pp. 1-53.																																																																																																																											
ME	L.E. Baum, "An inequality and associated maximization technique in statistical estimation for probabilistic functions of Markov processes", Inequalities 3: 1-8, 1972																																																																																																																											
EXAMINER <i>Michael Perreel</i>				DATE CONSIDERED <b>24 JANUARY 2006</b>																																																																																																																								
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.																																																																																																																												

Form PTO-1449 (REV. 7-92)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket Number: PHO 99-003		Serial No.: 09/439,174							
<b>INFORMATION DISCLOSURE STATEMENT</b> <b>BY APPLICANT</b> (Use several sheets if necessary)													
				<b>RECEIVED</b> <b>APR 02 2001</b> Technology Center 2600									
Applicant(s): Bennett						Filing Date: 11/12/99							
Group Art Unit :2744													
<b>U.S. PATENT DOCUMENTS</b>													
*EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
MP	6	1	4	4	9	3	8	11/7/00	Surace et al.	704	257	5/1/98	
MP	6	1	4	4	8	4	8	11/7/00	Walsh et al.	<del>402</del>	<del>257</del>	6/7/96	
MP	6	1	3	8	0	8	9	10/24/00	Guberman	704	207	3/10/99	
MP	6	0	2	9	1	2	4	2/22/00	Gillick et al.	704	200	3/31/98	
<b>FOREIGN PATENT DOCUMENTS</b>													
	DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)													
EXAMINER								DATE CONSIDERED					24 JANUARY 2006
*EXAMINER: Initials, citations considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.													



Under the Paperwork Reduction Project 95, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A (10-01)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
		Application Number	09/439,174
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	11/12/99
		First Named Inventor	Bennett
		Art Unit	2641
		Examiner Name	Douglas Olms
		Attorney Docket Number	PHO 99003
Sheet	1	of	1

RECEIVED

FEB 14 2002

Technology Center 2600

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
MP		US 2001/0016813 A1	08-23-2001	Brown et al.	
		US 6,233,559 B1	05-15-2001	Balakrishnan	
		US 6,185,535 B1	02-06-2001	Hedin et al.	
		US 6,182,038 B1	01-30-2001	Balakrishnan et al.	
		US 6,112,176	08-29-2000	Goldenthal et al.	
		US 5,934,910	08-10-1999	Ho et al.	
		US 5,884,302	03-16-1999	Ho	
		US 5,867,817	02-02-1999	Catallo et al.	
		US 5,836,771	11-17-1998	Ho et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
MP		WO 99/50830	10-07-1999	Microsoft Corporation		

Examiner Signature	<i>Matthew Perrell</i>	Date Considered	01/24/06
-----------------------	------------------------	--------------------	----------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



# Information Disclosure Statement By Applicant

Substitute for form 1449/PTO

Page 1 of 1

Application Number: 09/439,174

Filing Date: 11/12/1999

First Named Inventor: Bennett

Art Unit: 2654

Examiner Name: Martin Lerner

Attorney Docket Number: PHO 99-003

Examiner Initials	Other Publications
me	COX, Richard V. et al., "Speech and Language Processing for Next-Millennium Communications Services," Proceedings of the IEEE, Vol. 88, No. 8, August 2000, pp. 1314-1337.
me	KUHN, Roland, and Renato De Mori, "The Application of Semantic Classification Trees to Natural Language Understanding," IEEE TRANSACTIONS ON PATTERN ANALYSIS AND MACHINE INTELLIGENCE, VOL. 17, NO. 5, MAY 1995, pp. 449-460.
me	Unisys Corp., "Natural Language Speech Assistant (NLSA) Capabilities Overview," NLR 3.0, August 1998, Malvern, PA, 27 pages.

Examiner  
Signature:

*Martin Lerner*

Date

Considered:

24 JANUARY 2006